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Docket No. 4195-4002

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): David J. Josse, et al.

Serial No.: TBA 09/864,655 Group Art TBA

Examiner: TBA

Filed: May 24, 2001

For: A METHOD SYSTEM AND APPARATUS FOR ESTABLISHING,  
MONITORING AND MANAGING CONNECTIVITY FOR COMMUNICATION  
AMONG HETEROGENEOUS SYSTEM**EXPRESS MAIL CERTIFICATE**Express Mail Label No.: EL513415597USDate of Deposit: August 1, 2001

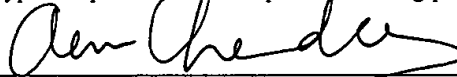
I hereby certify that the following attached paper(s) and/or fee

1. Information Disclosure Statement;
2. PTO-1449 Form attaching 18 references; and
3. Return Receipt Postcard

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Arun Chandra

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(Signature of person mailing paper(s) and/or fee)**Correspondence Address:**

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**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Pursuant to Rule 56, applicant hereby calls the attention of the Patent Office to the references listed on the attached Form PTO 1449. Copy(ies) of these references ☒ are attached ☐ were filed in related application U.S. Serial No(s) \_\_\_\_\_, filed \_\_\_\_\_, respectively.

- ☐ This document is being filed within three (3) months of the filing date of the application
- ☐ Please charge the \$180 fee to Deposit Account No. 13-4500, Order No. \_\_\_\_\_.
- ☐ This document is being concurrently filed with the above-identified application
- ☐ This document is being concurrently filed with an Request for Continued Examination (RCE)
- ☒ This document is being filed prior to a first Office Action
- ☐ This document is accompanied by a Search Report/Communication cited in a corresponding PCT or foreign counterpart application.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 13-4500, Order No. 4195-4002. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: August 1, 2001

By: \_\_\_\_\_

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FORM PTO-1449

## INFORMATION DISCLOSURE CITATION

Attorney Docket:  
4195-4002Serial No.:  
TBAApplicant:  
David J. Josse, et al.Filing Date:  
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TBA

## U.S. PATENT DOCUMENTS

Examiner Initial	Patent Number	Issue Date	Name	Class	Sub-Class	Filing Date
	5,109,483	April 28, 1992	Baratz et al.			
	5,526,358	June 11, 1996	Gregerson et al.			
	5,699,351	December 16, 1997	Gregerson et al.			
	5,768,523	June 16, 1998	Schmidt			
	5,768,524	June 16, 1998	Schmidt			
	5,781,737	July 14, 1998	Schmidt			
	5,961,594	October 5, 1999	Bouvier et al.			
	6,131,117	October 10, 2000	Clark et al.			
	US 6,178,529 B1	January 23, 2001	Short et al.			
	5,737,601	April 7, 1998	Jain et al.			
	5,909,550	June 1, 1999	Shankar et al.			
	5,960,404	September 28, 1999	Chaar et al.			
	6,061,740	May 9, 2000	Ferguson, et al.			
	6,085,243	July 4, 2000	Fletcher et al.			

## FOREIGN PATENT DOCUMENTS

Examiner Initial	Patent Number	Issue Date	Country	Class	Sub-Class	Translation
						<input type="checkbox"/> Yes <input type="checkbox"/> No

## OTHER DOCUMENTS (continued)

	"Developing For Netware"; Davis Ralph; PC Tech Journal, August 1988.
	"The Internet Access Dilemma"; Giles, Roosevelt; Network VAR, July 1996.
	"Next Generation Middleware, Multitiered Distributed Systems And The Web Are Changing The Face Of Middleware As We Know It"; Linthicum, David S.; DBMS, September 1997.
	"Common Software Architecture, Functional Overview"; NYSE/SIAC Product, July 1998.
	"Application Servers on the Front Lines"; Boucher, Karen; Software Magazine. December 1999.
	Critical Path. How Thought Travels; Injoin™ Pipes™, available at <a href="http://wysiwyg://16/http://www.cp.net/products/live-pipes-overview.html">wysiwyg://16/http://www.cp.net/products/live-pipes-overview.html</a> , (downloaded on March 8, 2001).
	Securities Industry Automation Corporation: Participant Network Connectivity Project Introduction, SIAC, Version 1.0 (date unavailable).

Examiner	Date Considered
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609.  
Draw line through citation if not in conformance and not considered.  
Include copy of this form with next communication to Applicant.